

Department of Administration

Division of Purchases

Records Retention Schedule

Approved December 2009

PCH Department of Administration – Division of Purchases

PCH1 Delegation of Purchasing Authority Records

Delegated Purchase Authority means the transfer of purchasing authority from the Chief Purchasing Officer, or the Purchasing Agent, to another state official in accordance with the provisions and limitations of Chapter 37, Title 2 of the General Laws of Rhode Island and regulations set forth in the state procurement regulation. Records document delegation of authority to make certain purchases and acquisitions of supplies, services and construction for the state. (State Procurement Regulation 2.2.3.1.1.)

Retention: Retain twenty (20) years or until superseded, whichever is later.

PCH2 Agency Purchasing Authority Lists

Director/Chief Executive of each user agency annually submits to the Chief Purchasing Officer for approval, a list of agency officials designated to have authority to act on behalf of the agency. Approved list is placed on file at the Department of Administration, Division of Purchases, Office of Accounts and Control, and Budget Office. (State Procurement Regulations 1.4.3.1 and 2.2.3.1.5)

Retention: Retain twenty (20) years or until superseded, whichever is later.

PCH3 Reports – Sole Source, Emergency, and Small Purchases

State statute requires that the Purchasing Agent compile annually a report of procurement actions that used sole source, emergency, and small purchase contracts methods during the preceding fiscal year. The summary includes name of each contractor, and the amount and type of each contract. (State Procurement Regulation 1.4.1.3.1 RIGL § 37-2-37)

Retention: Retain ten (10) years.

Note: For other reports, see also GRS1.5 Annual Reports and GRS1.6 Special Plans, Publications, Studies and Reports.

PCH4 Reports – Reports on Price and Cost Trends

Chief Purchasing Officer reports to General Assembly at least every three years on current costs, prices, trends and possible savings through improved practices. (RIGL § 37-2-58)

Retention: Permanent.

Note: For other reports, see also GRS1.5 Annual Reports and GRS1.6 Special Plans, Publications, Studies and Reports.

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PCH5 Reports – Transaction Summary Reports

State law requires that Department of Administration maintain records of all purchases and sales made under its authority, and make periodic summary reports of these transactions to the Chief Purchasing Officer, the Governor, and the General Assembly. (State Procurement Regulation 1.4.1.1 and RIGL 37-2-54(9))

a) Reports

Retention: Permanent.

b) Transaction records

Retention: Retain ten (10) years or one (1) year after audit, whichever occurs sooner.

Note: For other reports, see also GRS1.5 Annual Reports and GRS1.6 Special Plans, Publications, Studies and Reports.

PCH6 Reports – Recycled Products

Chief Purchasing Officer is required to report annually to the General Assembly on progress in compliance on tonnage use of recycled materials. (State Procurement Regulation 5.4.6.5 and RIGL § 37-2-76)

Retention: Permanent.

Note: For other reports, see also following record series in General Records Schedule: GRS1.5 and GRS 1.6.

PCH7 Bidders/Suppliers/Vendor Lists

Chief Purchasing Officer maintains Master Price Agreement lists and bidder lists. These lists consist of names and addresses of Division of Purchases' approved suppliers of various goods and services from whom agencies can solicit bids, proposals, and quotations. Bidder lists may consist of Registered Suppliers, Unregistered Suppliers, and Emergency Response vendors. (State Procurement Regulations 4.4.4. 4.4.3.1, 4.4.3.2, and 9.6.5)

Retention: Retain until updated, superseded, or obsolete, but no less than three (3) years after contract awarded.

PCH8 Purchase Order Contract Files

Files consist of records documenting the purchasing process. Records span initial agency purchase requisition order for goods and services, purchase order, and final close of contract. Purchase Orders are contracts or formal agreements with a vendor(s) for the purchase or disposal of supplies, services, construction, or any other items. These records document the bid process, where there is one, and terms of agreement with selected vendor(s). Other documentation in each contract file depends on purchase method (e.g. reverse auction, competitive negotiation, request for professional services, sole source, etc.) as well as progress of bid, legal issues, contract execution, kinds of services, and monetary value. Documentation may include, but is not limited to, the following: agency purchase

requisition order, with plans and specifications for service or product, bid preparation records (which may include notice of interest to vendors, request for proposals, documentation of posting of bid invitations in required locations, Invitation to Bid documents, list of recommended vendors, bid preparation instruction sheets, product and service specifications, bid list of parties who downloaded bid from Department of Administration website, pre-bid conference vendor attendance sign-in sheets, correspondence between Division of Purchases and agency(ies) and between Division of Purchases and vendors, vendor bids and proposals, bidder protest records, vendor surety bond documentation, and selection justification documentation. File may also contain change request records and documentation related to breach of contract disputes. Finally, files involving architectural and/or engineering services may contain recommendations from the Architectural and Engineering Consultant Services' Selection Committee along with Chief Purchasing Officer's letter of approval.

a) Non-responsive bids

Retention: Retain until contract awarded.

b) Unsuccessful bids

Retention: Retain five (5) years after contract award.

c) Contract file/successful bids and all other documentation

Retention: Retain ten (10) years after contract fulfillment or termination, or one year after audit, whichever is later.

Note: The Department of Transportation retains all documentation pertaining to the management and execution of transportation-related design and construction projects. This includes records kept to account for the management and expenditure of funds as well as files pertaining to administration, design, engineering and execution of projects. Department of Transportation also retains a variety of purchasing-related records. Original signed contracts are filed with the Division of Purchases and the Department of Transportation. Various records documenting the bidding and contract award process reside within Division of Purchases contract files as well as in Department of Transportation files.

PCH9 Architectural, Engineering, and Consultant Services Selection Committee – Minutes of Meetings

This committee is part of the Division of Purchases. It meets to review vendor bids responding to state Requests for Proposals and Letters of Interest. It reviews and evaluates those vendor proposals with architectural and/or engineering components selected by agencies, and makes recommendations to the Chief Purchasing Officer. Committee reviews only projects above a certain established value (over \$20,000 in 2007).

Retention: See GRS1.7 Meeting Minutes.

**PCH10 Architectural, Engineering, and Consultation Services Selection
Committee Files**

Files consist of copies of technical evaluations for each purchase action submitted to the committee as well as associated correspondence and supporting documentation.

Retention: Retain ten (10) years after contract fulfillment or termination, or one year after audit, whichever is later.

PCH11 Notices of Non-Performance Records

Records of formal complaints submitted to Office of Purchases by state agencies. Records include documentation of vendor deviation(s) from contract performance requirements and written justifications for complaint. Records depend on course of case. Records may include agency written complaints and justifications, Office of Purchases investigative reports, written decisions, notices of non-performance, contract amendments, change orders and related correspondence. (State Procurement Regulation 8.8.)

Retention: Retain ten (10) years after termination of contract or legal action, whichever is later.

PCH12 Certificates of Records Destruction

Certification of Records Destruction forms (PRA003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (RIGL §§ 38-1-10, 38-3-6(j), and 42-8.1-10.)

Retention: Permanent.